Mission Management Assessment Guidance

A Mandatory Reference for ADS Chapter 527 and Chapter 596

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I. Introduction

Development is dynamic and USAID as a learning organization continuously seeks opportunities to enhance the efficiency and effectiveness of our management and program platforms. USAID uses a business review process called Mission Management Assessments (MMAs) to help Mission, Operating Unit (OU), and Regional Bureau senior managers identify what is working and can be emulated elsewhere; major, often immediate, management issues;

and propose practical and feasible steps to address gaps or weaknesses. MMAs support the Agency's internal control program, which is governed by OMB Circular A-123[1]and the Federal Managers Financial Integrity Act (FMFIA)2. MMAs can also be used as a tool assist Bureau Assistant Administrators and Directors of Independent Offices in carrying out their responsibilities for oversight of the Missions/OUs under their purview.

As USAID works to address the challenges of the 21st century, it is more important than ever that we prepare for what lies ahead. Our Missions have increased security and risk management challenges; a changing workforce with a surge in new Foreign Service Officers (FSNs); increased interagency management and oversight; a new model for development assistance; and, of course, an increasingly tight fiscal environment. Because development assistance is crucial to U.S. national interests, we need to deliver it more effectively and efficiently than ever before; achieving greater impact in a more sustainable manner and cost effective manner.

Characteristics of Useful MMAs

- Responds to priority issues in the scope of work

- Uses evidence-based diagnostics

- Substantiates findings with data

- Presents "actionable" recommendations

- Prioritizes recommendations

USAID is also changing the way we do business—emphasizing local sustainability and partnerships; innovation; and strengthened capacity to deliver results. Our approach to work must be characterized by collaboration and partnerships, mutual support, and evidenced-based decision-making. A series of exciting reforms and initiatives has revitalized and re-energized our work and support for our efforts. These include, among others, USAID Forward, Feed the Future, the Child Survival Call to Action, Power Africa, and the creation of the Global Development Lab. Successful institutionalization of these efforts depends on strong performance management. MMAs help the Agency achieve its goals by addressing and improving upon major management issues.

This document describes the purpose of an MMA, when to perform an MMA, and the roles and responsibilities of team members and other stakeholders. This guidance also describes how to effectively organize and perform the MMA to ensure robust, evidence-based recommendations for sustainability and/or improvement.

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[1] OMB Circular 123-A provides guidance on improving the accountability and effectiveness of federal programs and operations by establishing, assessing, correcting, and reporting on internal controls to meet the Federal Managers' Financial Integrity Act of 1982 (FMFIA).

[2] FMFIA requires agencies to establish internal control and financial systems that provide reasonable assurance of achieving the three objectives of internal control, which are: 1) Effectiveness and efficiency of operations; 2) Compliance with regulations and applicable laws; and 3) Reliability of financial reporting.

MMA teams must apply proven methodologies to collect, analyze, and synthesize data to substantiate findings and recommendations. This guidance provides some diagnostic tools for MMA teams to use to reach this goal. The tools in the annexes of this guidance are for MMA teams to review and use as appropriate. They are not mandatory and are intended as reference materials to facilitate the MMA process.

An effective MMA maintains *confidentiality* of key issues; is *objective* in drawing conclusions; uses a *rapid method* to provide timely recommendations; and is *context-specific* in its recommendations. Regular communication among the Mission leadership and staff, the Regional Bureau, and Washington Operating Units at all levels is key to a successful MMA. MMA participation should be inclusive of all relevant Washington and field Operating Units. This supports the idea of "one USAID" and ensures that broad Agency knowledge is shared and utilized.

This methodology can also be adapted to Washington Operating Units.[3]

II.　　Purpose of an MMA
The purpose of most MMAs is to assess the effectiveness of a Mission's management of program and operations resources, including internal structures and processes. They facilitate feedback between Missions and Washington to promote corporate action to assess operations, address systemic issues and provide the Agency with sound analysis for establishing, restructuring, or closing out a USAID presence overseas.

III.　　When to Perform an MMA
USAID should perform MMAs when there is a clear and compelling rationale for engaging a high-level team to provide timely recommendations to management issues.   The decision to perform an MMA can originate from Washington, the Mission, or from both. There is no prescribed frequency for conducting MMAs. MMAs are useful to embrace the positive; to collect evidence of what works in different contexts; to share effective management solutions; and to enhance corporate policy.   An MMA is required when major changes in Mission size, status, or challenges are proposed, or serious management problems have occurred. Exceptional triggers could include follow up on crises, where assessments could be part of the mission recovery process.

MMAs can help Missions address the impact of initiatives and multi-faceted Washington guidance and the subsequent pressure they put on the capacity of the Mission to respond, especially when Missions are facing leadership and management gaps. Missions who are responding to multiple initiatives or who have serious management challenges should consider undertaking an MMA to manage workloads. This will help the Agency achieve its vision of moving from initiative management to performance management. MMAs can also be used to orient work in the early stages of strategic planning or for course correction, if necessary, during implementation. Annex A lists additional triggers for conducting MMAs.

IV.　　Roles and Responsibilities
The distinct roles and responsibilities of the MMA process are listed below, although regular communication among the Regional Bureau, Mission leadership, relevant Washington OUs, and Mission

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[3] Throughout this document, "Mission" is used to refer to both overseas Missions and Washington-based operating units. "Mission" is used alone to help streamline the guidance.

leadership and staff at all levels is key to a successful MMA. Specific roles and responsibilities will depend on the triggers for the assessment and the key questions to be addressed. The level of effort and seniority of participation required to carry out an MMA depends on a variety of factors, such as the scope of work (SOW), the availability of staff to serve on MMA teams, and availability of funding.

After the MMA team submits the final report, its members typically do not provide help in implementing recommendations. The recommendations should be owned and implemented by the Mission and Regional Bureau, with support from other Operating Units, as needed, and with advice and guidance from the MMA Advisory Group. The number and complexity of the recommendations should take into account the capacity of each Mission to implement them in the short-term and to demonstrate tangible results.

MMA Team
- Is composed of USAID senior-level managers who are subject matter experts on issues identified in the SOW (for example, acquisition and assistance, financial management, information technology, administrative management, human resources, or program) and who represent various USAID offices, OUs, or Bureaus who will be responsible for proposing solutions and implementing follow up actions;
- Has a high-level Washington point of contact (POC), such as the regional Senior Deputy Assistant Administrator, the Agency Counselor, or Deputy Assistant Administrator, to weigh in on the pre-MMA process and follow up on recommendations—thus ensuring the MMA does not just sit on a shelf;
- Performs data collection, analysis, and synthesis based on the SOW's key questions;
- Prepares a report and develops presentations of evidence-based findings and conclusions on strengths and weaknesses, with prioritized recommendations for corrective actions; and
- Includes a Logistics and Report Coordinator to organize and facilitate the team's schedule and report writing.

MMA Team Leader
- Is a senior-level officer in the Regional Bureau (for example, the Senior Deputy Assistant Administrator (SDAA) or her/his designee). The team lead could also be a senior-level officer from another Operating Unit in the Agency;
- Collaborates with the Mission, the Bureau for Management (M), and other relevant offices in Washington to form the team;
- Engages with the interagency, as appropriate, to address concerns or issues;
- Finalizes SOW and recommends approaches, such as Appreciative Inquiry or the use of Open Space Technology (see Annex B);
- Ensures team members clearly understand their roles and responsibilities and meet deadlines;
- Is the team's spokesperson;
- Coordinates the team's efforts;
- Ensures that team members observe all necessary protocols;
- Makes sure that "stove-pipes" are avoided and that cross-cutting issues are correctly addressed throughout the report;
- Edits the final MMA report; and
- Performs the functions of a subject matter expert, if needed.

Regional or Pillar Bureau
- Takes the lead in developing and refining the MMA's SOW based on discussion and input from the Mission and other stakeholders (for example, the Agency Counselor or central function owners in the Bureau for Management);
- Identifies potential team members;
- Designates the Team Leader;
- Highlights any interagency issues for the team and ensures that the SOW will facilitate their resolution;
- Assigns responsibility to the Country Desk Officer (CDO) for coordinating the pre-departure process, including follow-up to MMA recommendations; and
- Alerts the MMA Advisory Group of additional help needed from Washington to carry out MMA recommendations.

MMA Advisory Group
- Consists of representation from the Bureau for Management (M), Counselor's Office, and Office of Human Resources (OHR);
- Provides advice and guidance to the Regional or Pillar Bureau SDAA or delegate who has the lead on developing the SOW, MMA team and Mission throughout the MMA process, with particular attention during the planning and implementation phases;
- Assists the Regional Bureau with identifying MMA team members;
- Monitors Agency MMAs to ensure that they are strategic and link to Agency priorities;
- Reviews and helps finalize MMA findings to determine best practices and lessons learned for performance improvement; and
- Uses the Management Operations Council (MOC) as a platform to share corporate learning gathered from the MMAs.

USAID Mission
- Develops the SOW in collaboration with the Regional Bureau;
- Arranges for the MMA team's administrative and logistical support while in country (in advance of the team's arrival);
- Develops a Mission profile for the team's briefing package (to include, for example, budget and staffing trends and overview of programs);
- Designates a POC for the team for all in-country tasks;
- Provides suitable work space, meeting rooms, equipment, and other facilities to the team; and
- Ensures all Mission staff is available to engage effectively with the team.

Mission Point of Contact
- Is the primary POC for the MMA;
- Should be the Mission Director or Deputy Director to demonstrate leadership and high-level commitment throughout the process (depending on the size and scope of the MMA). The Mission Director or Deputy Director should articulate her/his vision and top line issues. For example, in Tanzania the top line issue was "how to create a 21st century Mission which works smarter (efficiently and effectively) to meet the development needs of Tanzania as set forth in its CDCS;"
- Creates the Mission Task Force;
- Ensures the MMA team receives required in-country administrative and logistical support;
- Helps the Team Leader finalize the SOW;

- Collaborates with the Country Desk Officer (CDO) to make key reference materials available before and during the assessment;
- Collaborates with the Logistics and Report Coordinator on all scheduling tasks; and
- Facilitates team engagement with field staff.

Mission Task Force
- Has a representative from each Mission office;
- Represents the needs of foreign service nationals and U.S. staff;
- Keeps the Mission offices informed and engaged in planning and executing the MMA; and
- Follows up on the MMA recommendations.

Regional Office/Pillar Bureau Representative or Country Desk Officer
- Is the MMA's Washington coordinator;
- Helps to draft the SOW;
- Serves as a virtual member of the Mission's Task Force or as a member of the MMA team;
- Briefs the MMA team prior to travel to post,
- Recommends a type(s) of Business Analysis (see Annex B);
- Convenes team planning meetings;
- Compiles key strategic reference materials for the team;
- Assists the team and the Mission POC with any issues that require Washington input; and
- Serves as the POC for follow-up on post assessment recommendations and liaises with the Mission and other Washington offices.

V.   MMA Budgeting
Missions and Washington have cost-share funding for MMAs because MMAs:

- Rely significantly on various Bureaus to provide staff to serve as team members; and
- Frequently contribute to broader Agency continuous learning and adaptation efforts (for example, "working smarter" approaches or benchmarks for success in operations).

The Regional Bureau and Mission typically should cover most of the costs of the MMA. Where possible, Bureaus that provide subject matter experts to staff the MMA team should also cover some or all of the expenses for their participating staff.

Note: In some cases, it may be necessary to contract short-term technical services of a subject matter expert (for example, Controller or acquisitions and assistance specialist) in order to fill a key gap in the team. Missions have contracted firms to help them with MMA follow-up and change management associated with MMA recommendations and included contractor involvement on the MMA team for professional facilitation and assistance in report completion. However, as the MMA examines many inherently governmental functions, the Team Leader is responsible for ensuring that appropriate team members handle these tasks. Acquisition of specialized services to assist with the MMA must be cleared by the SDAA/M.

There is no established frequency for MMAs, which should be carried out as necessary in response to triggers, such as the ones listed in Annex A. However, Regional Bureaus should estimate the number of MMAs they may need to carry out annually and present this to the Management Operations Council. In defining the budget for these, the Regional Bureau should estimate that each MMA will require

anywhere from three to eight weeks (not always on a full-time basis) and assume that, typically, the team spends 5 to 10 days in country.

VI. Pre-departure Preparation

A well-organized assessment leads to evidence-based analysis and recommendations. This section describes the key elements of a well-organized MMA process.

MMA Planning

The scale and size of an MMA will be determined by a combination of the triggers for the assessment, the size and significance of the mission, and the urgency of the assessment. These factors will also help determine which Operating Units should participate on the MMA team, provide input, raise potential issues, or make data available.

The Regional Bureau will notify the MOC of all planned MMAs. At this time, relevant Washington and field Operating Units should indicate their interest in participation in the MMA. Participation could be inclusion on the MMA team or another role as appropriate.

MMA Scope of Work

The first step in an MMA is the development of a draft SOW that identifies the key questions or lines of inquiry.   The SOW also clearly articulates team members' roles and responsibilities, and proposes a methodology for conducting the assessment (see Annex C for a sample SOW).

The Regional or Pillar Bureau Point of Contact or MMA team leaders are also required to contact the MMA Advisory Council, who will serve as the main point of contact for the MMA Team to review the SOW and to coordinate the appropriate staff to participate in the MMA. The MMA Advisory Group is responsible for providing input and clearance on the SOW.

For an MMA planned for a Regional Platform, the SOW and proposed methodology should indicate how the final product will reflect input from client Missions (for example, via site visits, questionnaires, video conferencing, or a combination of methods). If the MMA is for a Mission that relies on regional support, the SOW should examine efficiency and effectiveness factors related to regional support.

For an MMA planned for Washington Operating Units, the SOW and proposed methodology should indicate how the final product will reflect input from stakeholders (for example, Missions and other U.S. Government agencies).

In program and operations support (for example, staffing, functions, and systems and business processes), key management areas commonly assessed in MMAs are:

- Administrative Management (including ICASS and security);
- Program Management (including structures and use of teams);
- Internal Mission communications and information flow;
- Performance Management (program and operations);
- Operational Resources and Program Budget Management;
- Human Resources Management;
- The role of leadership at all levels of the Mission;
- Acquisitions and Assistance (A&A) Management;
- Financial and Audit Management;

- Information Resources Management;
- Information Technology Management;
- Regional Program Support and Management; and
- Interagency and External Relationship Management and Coordination.

When the MMA's primary purpose is to address leadership questions or provide support following a crisis, other types of inquiry and resources are needed. In these cases, appreciative inquiry is the recommended type of business analysis (see Annex B) and OHR participation, particularly from the staff care unit, may be critical. If there are leadership, organizational structure, morale, or FSN issues as triggers identified for the MMA, early engagement by the MMA Team with OHR will assist the Regional Bureaus and Missions in identifying and expediting appropriate solutions.

MMA Team Composition

There is no set structure for an MMA team. Teams must include members who can: a) contribute relevant and strategic high-level experience and knowledge that responds to the SOW; and b) help ensure appropriate USAID senior-level buy-in from Washington and the field for the MMA's findings and recommendations.

Most MMA teams will depend on the participation of USAID senior-level managers with full existing workloads. The Regional Bureau should obtain a firm commitment from the candidates and their supervisors to see the MMA process, including implementation of recommendations, through to its completion.

In general, depending on the MMA's purpose and scope, MMA teams may include any of the following senior-level participants, aligning with the guidance of five to eight care members on a team:

- Deputy Assistant Administrator-level team member (or her/his designee), who serves as the Team Leader;
- Program Officer;
- Administrative Management Services or Executive Officer;
- Controller;
- A&A Specialist;
- Communications Specialist;
- Office of Human Resources Representative;
- Information Technology Specialist;
- Strategic Management Advisor (for example, a person with knowledge and expertise in rapid assessment methodologies, business process reengineering, and process and synthesis facilitation);
- Legal Advisor;
- Mission Director or senior manager from another region or country;
- Senior Third Country Nationals (TCN) or Foreign Service Nationals (FSN) from another Mission, often from the same region (for example, financial manager or A&A specialist);
- Senior-level officer from the assigned Regional Mission if a bilateral Mission is transitioning to office or representative status;
- Junior or mid-level Logistics and Report Coordinator; and
- Representation from other USAID Operating Units who show interest during the planning phase.

The actual scale and number of participants in an MMA will be determined by a combination of the triggers for the assessment, the size and significance of the mission, and the scope of the assessment and its urgency. These factors will also determine the role and seniority of the team leader. In some cases, it may be more effective for the team leader to be a senior officer from another Bureau, with front office support provided by the relevant Regional Bureau. In others, a small more targeted team comprised of Bureau staff from different levels of the organization may be warranted.

MMA Team Tasks
Depending on the SOW, the MMA team typically spends anywhere from two to four weeks preparing for the in-country assessment. The level of effort of the MMA team will depend on the scope of the SOW and the individual roles, but the team should be prepared to spend 10-20 hours per week in preparation. Before departing for the field, the team meets several times as a group and breaks out individually to do the following:

- Review the SOW:

  - Refine, as needed, and prioritize action items in consultation with the MMA Advisory Group.
  - Define key questions to address and agree on analysis methods which could include a single method or mix of multiple different types of inquiry (see Annex B). Explain to the Mission why the team chose this type of analysis. The team should use the template in Annex D to detail the focus areas, data sources, analysis methods, and team lead responsible for review and analysis for each question. (Note: The Strategic Management Advisor guides the team in this process.);

- Review, analyze, and synthesize data from key reference materials (see Annex E for suggested reference materials that the MMA team should examine prior to departure for the field);

- Create a report outline (see Annex F for a suggested outline);

- Conduct and document interviews with key Washington stakeholders, for example:

  - Technical experts from the Regional Bureau or other USAID Bureaus and Independent Offices who regularly interact with the Mission;
  - Executive leadership, such as the Agency Counselor, Chief Human Capital Officer, and Performance Improvement Officer, and other relevant Bureau and Independent Office heads; and,
  - Other pertinent U.S. Government department leadership, such as Department of State Desk Officers and Mission Points of Contact in the Office of U.S. Foreign Assistance Resources, Millennium Challenge Corporation, and other donors;

- Prepare in-country schedules for meetings and consultations based on discussions with Mission and Regional Bureau staff ensuring that the MMA team will have adequate feedback from locally-hired staff;

- Develop checklists, survey instruments, and functional area questionnaires to guide interviews and consultations. Depending on the SOW, the checklists can vary. Some USAID Operating

Units use their own checklists for MMA site visits. (See Annex H for links to functional operations checklists.)

Mission Responsibilities Prior to MMA Team Arrival

- Prior to the arrival of the MMA team, the Mission should hold an introduction session to help staff understand why an MMA is necessary and the overall objective and process.

- Ensuring buy-in from staff at all levels is best done before the team arrives and preferably even at an earlier point such as when the decision to undertake a MMA had been made. If there are serious management issues, the staff (especially FSNs) probably already knows about them and may be frustrated or disillusioned because of them. Knowing that their concerns have been recognized and steps are being taken to address them goes a long way for overall staff morale and health of the Mission.

- The Mission should pay special attention to the FSN perspective and concerns. FSN staff often provide continuity of service, as U.S. staff rotate in and out of the mission, and have a valuable long-term perspective.

VII.   In-Country Activities

Team Entrance Briefing
The briefing's purpose is to introduce the MMA team to the Mission Director and Deputy Mission Director and review the SOW, logistics, feedback process, and timetables. A kick-off session, where the team is formally welcomed and introduced to all senior managers at the Mission including senior FSNs, can be beneficial in setting a constructive and transparent tone.

The MMA team may brief the Ambassador and other key U.S. Mission staff on the reasons for and scope of the MMA. The MMA team's SOW should specify whether stakeholders from the USAID Mission should or should not attend these meetings. The level of interaction with the Ambassador and Embassy should be determined by the issues addressed in the MMA and the country of the assessment. The Embassy and Ambassador may be key figures in citing successes and resolving problems, and should therefore be kept apprised of any and all major developments.

The MMA team and Mission can consider conducting a Mission retreat to introduce the team to the Mission (Tanzania conducted an Open Space Technology format retreat, which proved to be very participatory and worked extremely well. See Annex B for information on Open Space Technology). Some MMA teams have also used electronic surveys carried out prior to their arrival to surface key issues.

Interviews and Consultations
The MMA team should interview stakeholders with *influence, impact, interest, and investment* in the Mission. Internal and external stakeholders include Mission staff (U.S., FSN, and TCN), U.S. Embassy staff, other U.S. Government staff and agencies, host government officials, other donors, and significant U.S. and local implementing partners (for example, grantees and contractors). Interviewees can: a) provide an understanding of workflows and business processes; b) identify or confirm problems or areas of concern; c) recommend possible solutions to address weaknesses; and d) identify successes for replication across the Agency.

The amount of time an MMA team has in country tends to be limited, often no longer than 5 to 10 days. It is important that the MMA team carefully define, prior to arrival at the Mission, who they should interview and why (that is, how the interviews will inform a high-priority question or issue contained in the SOW).

While the MMA team is in country, the interview list and topics will likely evolve. The MMA's Logistics and Report Coordinator is responsible for coordinating between the MMA team and the Mission POC on scheduling issues.

MMA team members should structure their interviews with questions and discussion guides to maximize time, get the necessary facts and data, and avoid relying on anecdotal reporting (Annex G gives methods and tips for collecting data). The team must always document substantive findings and recommendations from interviews and consultations.

The team must always confirm whether an information source is or is not willing to have her/his observations attributed. The team must respect nonattribution requests. The MMA team can present any key information collected for nonattribution in general terms.

Note: Typically, the Mission Director or Deputy Director does not attend MMA team meetings with Mission staff, other U.S. Government and donor staff, and local public and private partners, to help ensure frank feedback and minimize risk of influencing the assessment findings.

Data Collection and Analysis
To address specific SOW issues, MMA teams must use appropriate analysis tools to compile or collect the data they need to substantiate their findings and recommendations. In country, the MMA team should finalize selection of the best data collection and analysis methods, as outlined in Annex B, to complement data collected prior to departure. The team's Strategic Management Advisor should help the team select the best method(s). The team can also adapt or use the checklists in Annex H to systematically collect and document findings, conclusions, and recommendations.

Daily Team Debriefs
While in country, the MMA Team Leader should set aside at least one hour at the end of each day for a brief summary session so the team can discuss and review findings and evolving conclusions. The Strategic Management Advisor should facilitate these debriefings. This ensures that the team drafts accurate overall perspectives and agreed-upon priorities. In some cases, it may be useful to reach back to stakeholders in Washington to discuss issues as they surface prior to making final recommendations. This will be essential when key recommendations may require action by other offices or Operating Units outside of the team's core membership. The team should use the final session to ensure that they agree on the recommendations and actions the Mission (or Washington) should take to satisfy the recommendations.

Draft MMA Report Preparation
Specific team members should write each section of the report (with input from other members, as needed). Team members should write their sections in separate Word documents, saved with an agreed upon file naming protocol. To ensure timely delivery of the report to its audience, team members should devote a portion of each day in country to synthesize and document findings, conclusions, and recommendations.

In order to maintain version control of the report, the Logistics and Report Coordinator should be the gatekeeper and the Team Leader should be its editor. Team members should only make changes to the draft document in track changes. The Team Leader must guide members to ensure that recommendations are concise, understandable, and viable in the short-term.

When the MMA team arrives in country, it should have established and communicated its schedule with midpoint dates for providing feedback to the Mission and any relevant Washington stakeholders in order to validate initial findings.   The Logistics and Report Coordinator should ensure the team meets these timelines, adjusting these at the direction of the Team Leader and in consultation with the Mission's POC.

For the purposes of quality control, any reports with financial recommendations or actions must be sent to the Deputy CFO for Overseas Operations to ensure the documentation meets agreed-to Controller Assessment requirements and standards and recommendations reflect the Bureau for Management, Office of the Chief Financial Officer (M/CFO) corporate goals and objectives.

Exit Briefing
The MMA team should meet with the Mission Director and Deputy Mission Director and if possible a separate meeting with the Ambassador or Deputy Chief of Mission before departing the Mission. The team should provide preliminary feedback on their key findings, draft conclusions, and draft recommendations. Preliminary debriefings with Mission teams/senior staff may also be appropriate. PowerPoint formats have been used successfully for these presentations.

VIII.   Review and Approve Deliverables

Team Deliverables and Timetables
The team's deadline for submitting the draft MMA report can be as short as one to two weeks, or as long as one month after the team leaves the Mission. Very often, USAID performs MMAs to respond to time-sensitive interests in the Mission or in Washington. Therefore, teams must make every effort to complete their report on schedule. In most cases, it is advisable to complete most of the report prior to leaving country.

The final MMA report generally should not exceed 30 pages, excluding attachments. The content should detail major findings on strengths and weaknesses (including citations on methods of data collection, for example, interviews and transaction reviews), with a highly focused number of prioritized recommendations and suggested timelines for completing actions.

It is important that the MMA prioritize findings in order to develop a discrete set of achievable changes/reforms that can be assimilated within a clear timeframe. These changes or reforms should be organized in an implementation plan to assist with follow-up action.

The MMA team must carefully review all of its recommendations to ensure that they are actionable. Recommendations must also be carefully considered to make sure that they address the problems identified; they take into consideration whether the action should be piloted or implemented in full; are manageable for the staff; and that they are specific (overarching, "high level" recommendation should include specifics about what actions are proposed, so there is no room for interpretation or misunderstanding).

Draft MMA Report

Within two to four weeks of its return, the team must share the draft report, including the implementation plan, with Washington and the Mission who should discuss with staff at multiple levels (including FSNs). Before finalizing the draft MMA report, the Team Leader (and team members, as necessary) will meet with the Regional Bureau and the MMA Advisory Group to discuss the draft's major findings and recommendations. The Mission should provide feedback in writing within five days of receipt.

Final MMA Report

Within two weeks after meeting with the Regional Bureau, the team should finalize the MMA report. The report should reflect Regional Bureau and Mission feedback, noting any disagreements or exceptions.

Sometimes MMA teams document particularly effective and practical methods or techniques for making optimum use of Agency resources. If these appear to have high potential for replication at other Missions, the team can briefly profile these in a separate attachment to the MMA.

In most instances, it is mandatory that the Mission receive a copy of the final MMA report. The report should be disseminated as widely as possible/appropriate within the Mission (to all staff members including FSNs) to ensure full transparency for staff at all levels regarding the results and recommendations. Only in special circumstances would the final report not be shared with the Mission or have limited internal USAID distribution.

Note: If the MMA raised any sensitive, personnel-related issues, the team can document these separately as a confidential addendum to the MMA report.

Formal Agency Briefing

The Regional Bureau briefs the MOC on the final MMA report's key findings and prioritized recommendations. The Regional Bureau documents any salient points covered during the briefing in a Memorandum to the Files and will solicit specific support to implement agreed upon follow-up actions. These key findings and recommendations will inform management decisions and reform within the Agency.

Report Submission

The final report, including the implementation plan, and formal agency briefing documentation should be submitted to the MMA Advisory Group POCs, which include the Bureau for Management SDAA, the Counselor to the Agency, and the OHR Chief Human Capital Officer. The MMA Advisory Group will be responsible for aggregating larger Agency trends and recommendations to be brought to the attention of Agency leadership, including the Administrator. The Bureau for Management SDAA, as the POC for the MMA Advisory Group, will draw on the expertise of the Performance Improvement Officer's staff to analyze best practices and lessons learned for continuous learning. These will be used as benchmarks for future MMAs, as well as, to make recommendations to the Management Operations Council to increase the efficiency and effectiveness of corporate operations.

Follow-up Action by the Mission

Depending on the final priority recommendations, the Regional Bureau agrees with the Mission on a timetable (usually within one month, but ideally not to exceed six months) for closing required priority actions. The follow-up timetable should be created with continued wide input from staff at all levels

(including FSNs) to ensure that the actions are achievable and that the follow up does not create additional burdens and frustrations for staff. The timeframe should also take into consideration any planned major personnel changes and adjust accordingly. At this time, any necessary support from Washington should be confirmed. The Regional/Pillar Bureau CDO, or representative, monitors satisfaction of the major recommendations reflected in the MMA's follow-up action chart. S/He reports to the Regional Senior Deputy Assistant Administrator on progress and any issues requiring high-level attention.

Annex A—Triggers for Mission Management Assessments

The reasons for deciding to perform a Mission Management Assessment (MMA) vary and can originate in Washington, the Mission, or both. Some of the more common triggers for conducting MMAs are:

- **Positive adoption of strategies or new technology:** When a Mission successfully implements a new strategy or uses new technology (for example: to streamline operations); a MMA may be performed so that the successes can be emulated elsewhere.

- **Overall Management Effectiveness:** Assess efficiency and effectiveness of the Mission's management of program and operational resources (for example, instances of significant funding pipelines or questions about the likelihood of achieving planned results) and its effect on staff morale.

- **Leadership:** One of the current challenges for Missions are serious management and leadership gaps and an influx of more officers filling SMG positions for the first time who need structured mentoring and developmental assignments. Assess dimensions of the OPM "Leadership Effectiveness Index (LEI)" (see Annex I), mentoring programs and options for regional or virtual coaching as well as enhanced roles for FSN staff.

- **Strategic Planning:** Examine overarching operations management issues to inform a Mission's preparation of its long-term country strategy, especially in light of new and multi-faceted initiatives and directives coming from Washington and its effect on staff morale.

- **New U.S. Government Directives, Initiatives and Guidance:** Examine the impact of new directives or guidance on a Mission's structure, systems, or processes (for example, Presidential Initiatives, Joint Regional Strategies or Integrated Country Strategies, implementation of USAID Forward reforms and the requirements of the Executive Order "Making Open and Machine Readable the New Default for Government Information") and its effect on staff morale.

- **Significant Objectives or Resource Level Changes:** Assess the impact of new programmatic emphases and resource levels on program and operations management and its effect on staff morale.

- **Significant Operating Environment Changes:** Examine the impact of changed political, strategic, or economic circumstances in relation to a Mission's size, presence, or operations scope and its effect on staff morale.

- **Vulnerability Issues:** Assess concerns about whether a Mission's resources and operations limit programmatic or operational vulnerability (for example, fiduciary, business process, audit, or security) and its effect on staff morale.

- **Restructuring - Selectivity and Focus:** Plan for possible Mission resizing, rightsizing, reduction, consolidation, regionalization or closeout based on applying the principles of selectivity and focus or

looking to a future post-mission role for USAID by assessing and defining the feasibility and corollary requirements necessary to ensure an effective transition and its effect on staff morale.

- **Special/Staff Care Issues:** Examine special concerns and their impact on a Mission's planned, current, or future operations (for example, response to crisis (a terrorist strike or humanitarian disaster with wide ranging impact on mission staff), progress in procurement reform, ICASS integration progress, expressed staff discontent, regional support, or interagency coordination and collaboration).

Annex B—Types of Business Analysis

Annex B provides brief summaries of a variety of business analyses. These are meant to be resources for MMA teams, who are encouraged to choose one or more types of analysis to use during the MMA process. The team is encouraged to further research the types of analysis used if the team is not familiar with the process. In many cases a mix of different methods will be used.

Appreciative Inquiry

What: Appreciative Inquiry (AI) is a process oriented method for studying and changing social systems organizations that promotes collective inquiry into the best of what is in order to imagine what could be. AI looks at *what is going right* to improve an organization. The process involves an analysis of the organization, examining its culture, environment, and relationships, to identify and build on existing strengths rather than scrutinizing problems and deficiencies. The differences between AI and a problem-based approach are highlighted below.

Problem Solving	Appreciative Inquiry
• Felt need, identification of problem(s)	• Appreciating, valuing the Best of What Is
• Analysis of Causes	• Envisioning what might be
• Analysis of possible solutions	• Engaging in dialogue about what should be
• Action Planning (treatment)	• Innovating, what will be

How: There are five phases or steps to guide the process of AI. The aim of these processes is to build (or rebuild) organizations around what works, rather than trying to fix what does not.

1. **Define "the what"-identifying the focus of your study.** In order to set the tone for the study, the focus should not be worded as a problem, but on how to expand on strength. For example, a focus could be "ways to accelerate staffing" rather than "ways to fix staffing problems." Although this may seem like semantics, it will influence both the character of the questions and the respondents' answers.
2. **Discover "the best of what is" by identifying where the organization's processes worked perfectly.** This phase is done through interviews and focus groups to identify past best practices and what is currently working well. Questions are open ended and written in the affirmative so that people can provide wide-ranging answers and stories about what they find to be valuable.

   Once the data is collected from the interviews, categorize the responses to determine what was most valued and motivating among respondents. Using this data, you will be able to map the positive core of an organization and gain insight into best practices and innovative ideas and experience.
3. **Dream "what might be" by envisioning processes that are effective every time.** This phase builds on the organization's positive processes and maps how they may be used constructively. In addition to the interview analysis (which should yield best practices) the team also sets up a brainstorming session with a diverse group of stakeholders for additional creative ideas when moving forward. This is often a large conference or workshop for the organization to talk about

successful moments within the organization and what the organization would look like if these were the ongoing norms. The facilitator can break the organization into smaller working groups to expand on the organizational vision. This is a collaborative process that is meant to encourage positive interaction among staff. Once a vision is agreed upon the design phase begins.

4. **Design "what will be" by refining processes and best practices for future use.** Once ideas from the interviews and the brainstorming session begin to solidify, you will need to examine how these ideas are implemented. This occurs in a selected working group from the brainstorming session or is explored in breakout groups at the conference or workshop.

    You may choose to implement this in a larger group by designing a "possibilities map" which contains concentric circles of: the dream of an organization; the key relationships that have impact on this dream, and the key organizational design elements that will be needed to deliver the dream. In smaller groups, members can discuss these design elements. The smaller group maps the best practices identified and explores innovative ideas to existing systems, processes, and strategies. It also looks at how systems can be tweaked to incorporate the changes needed.
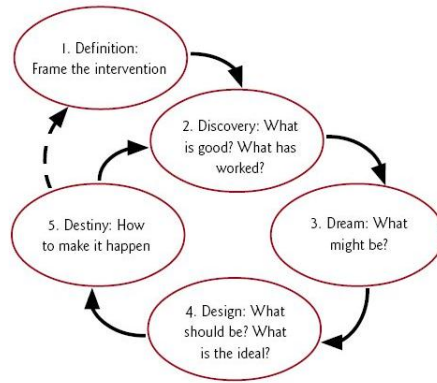
5. **Deliver "The Plan" by Implementing the Path Forward.** The final phase is the largest level of effort for an organization, and it takes a lot of planning and preparation. It is helpful to have smaller working groups to follow up on elements and applicable processes identified within the design phase. The key to success in executing the plan forward is to make sure the vision from phase three, is the focal point for progress. Each member within the organization has their own processes to complete and modify, but true success occurs when all of members provide changes at the same time, thus using positive energy within the study to focus on the vision forward.

When to Use: Appreciative Inquiry's focus on the positive can be useful in helping teams create a safe environment to delve into difficult issues and build group cohesion. It is best used when there is a need to change group dynamics. The approach is highly collaborative and creates energy to enhance teamwork and motivation within an organization.

AI works well when members can identify and link best practices that are already in existence in an organization. New practices are discussed, but the process usually focuses on what already works. AI should be used when members of the organization are aware of best practices and historically successful decisions and can use them to influence future work.

Additional Information:
- The Art of Appreciative Inquiry (http://hbswk.hbs.edu/archive/3684.html)
- "A Positive Revolution in Change: Appreciative Inquiry" (http://appreciativeinquiry.case.edu/uploads/whatisai.pdf)
- Mind Tools (www.mindtools.com/pages/article/newTMC_85.htm)
- Positive Change (https://positivechange.org/how-we-work/the-appreciative-inquiry-4-d-process/)
- Change Management Blog (http://www.change-management-blog.com/2009/07/change-model-1-4d-model-appreciative.html)

The cycle consists of:
- 1. Definition: Frame the intervention
- 2. Discovery: What is good? What has worked?
- 3. Dream: What might be?
- 4. Design: What should be? What is the ideal?
- 5. Destiny: How to make it happen

Balanced Scorecard

What: Balanced scorecard is a strategic planning and management method used extensively in business and industry, government, and nonprofit organizations worldwide to align business activities with the vision and strategy of the organization, improve internal and external communications, and monitor organization performance against strategic goals.
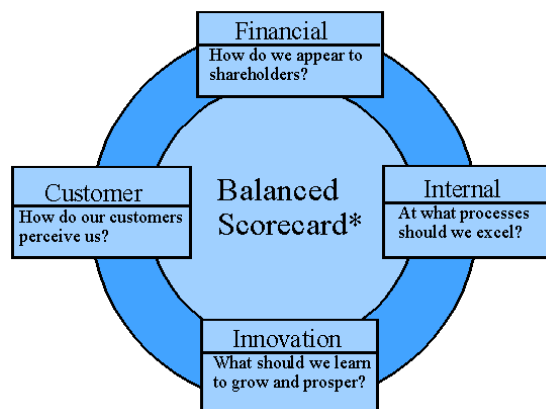
How: To construct and implement a balanced scorecard:
1. Articulate the vision and strategy;
2. Identify the performance categories that best link the vision and strategy to its results;
3. Establish objectives that support the vision and strategy;
4. Develop effective measures and meaningful standards, establishing both short-term milestones and long-term targets;
5. Ensure acceptance of the measures;
6. Create appropriate budgeting, tracking, communication, and reward systems;
7. Collect and analyze performance data and compare actual results with desired performance; and
8. Take action to close unfavorable gaps.

When to Use: Balanced scorecard should be used when it is time to transform an organization's strategic plan into "marching orders." It offers a framework that not only provides performance measurements but helps planners identify what should be done and how it should be measured.

Additional Information:
- Balanced Scorecard Institute (http://www.balancedscorecard.org)
- Bain & Company (http://www.bain.com/publications/articles/management-tools-2011-balanced-scorecard.aspx)

Benchmarking

What: Benchmarking is the comparison of one organization's practices and performance against those of others. It is the process of identifying best practices in relation to both products and the processes that create and deliver those products. Managers compare the performance of their products or processes externally with those of competitors and best-in-class companies and internally with other operations that perform similar activities.
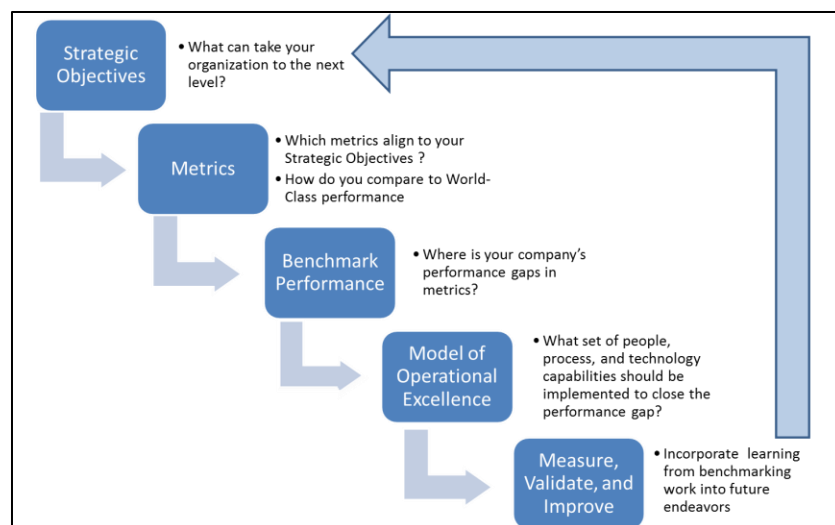
How: The critical steps of the benchmarking process are:

1. Select a product, service, or process to benchmark to help achieve the strategic objectives;
2. Identify key performance metrics;
3. Collect data on metrics;
4. Choose companies or internal areas to benchmark;
5. Collect comparison data on performance and practices;
6. Analyze the data and identify opportunities for improvement; and
7. Adapt and implement the best practices, setting reasonable goals, and ensuring organization-wide acceptance.

When to Use: Benchmarking should be used to identify industry best practices, so an organization can make improvements or adapt specific best practices to increase performance.

Additional Information:
- State of Minnesota Management and Budget (http://www.mad.state.mn.us/benchmarking)
- Bain & Company (http://www.bain.com/publications/articles/management-tools-2011-benchmarking.aspx)

Business Process Mapping

What: Business process mapping involves graphically defining what an organization does, who is responsible for each step, and how long each step takes. Business Process Modeling Notations (BPMN) are the graphical objects that comprise the map. For example:

- Ovals show input to start the process or output at the end of the process;
- Boxes or rectangles show tasks or activities performed in the process;
- Arrows show process direction flow; and
- Diamonds show points in the process where a yes/no questions are asked or a decision is required.

How: Guidelines for process mapping include:

1. Assemble the core process team;
2. Walk through the process using wall paper and "sticky" notes to keep the mapping visual and inclusive;
3. Discuss each step in the process and come to agreement on a) who is responsible and b) in what time frame; and
4. Document the final map using diagramming software such as Microsoft Visio.

When to Use: Business process mapping should be used when trying to identify specific pain-points and areas where the organization can gain efficiencies.

Additional information:
- Iowa State University (http://www.fpm.iastate.edu/worldclass/process_mapping.asp)
- Stephen A. White, IBM Corporation (http://www.omg.org/bpmn/Documents/Introduction_to_BPMN.pdf)
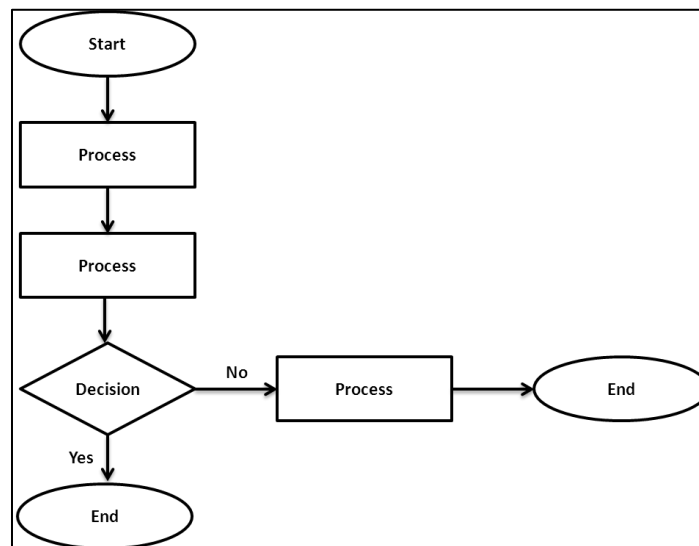
Change Management

What: Change management is an organizational process aimed at helping stakeholders accept and embrace changes in their business environment. Change management involves the application of a set of tools, processes, skills, and principles for managing the people side of change to achieve the required outcomes of a project or initiative.

How: There are several different models for change management. Kotter's 8-Step Change Model and the ADKAR Model are described here.

Kotter's 8-Step Change Model is a core set of change management activities that need to be performed to effect change and make it stick in the long term. The eight steps are to:

1. Create Urgency;
2. Form a Powerful Coalition;
3. Create a Vision for Change;
4. Communicate the Vision;
5. Remove Obstacles;
6. Create Short-term Wins;
7. Build on the Change; and
8. Anchor the Changes in Corporate Culture.

The ADKAR (Awareness, Desire, Knowledge, Ability, Reinforcement) Model is used to identify resistance to change, aid in the transition process, create an action plan for advancement during the change process, and identify why changes may not be working. ADKAR involves creating:

1. Awareness of the need to change;
2. Desire to participate and support the change;
3. Knowledge of how to change (and what the change looks like);
4. Ability to implement the change on a day-to-day basis; and
5. Reinforcement to keep the change in place.

When to Use: Change management methodologies should be used to assess the organization's ability to change and reform and guide the organization through change.

Additional Information:
- Change Management Learning Center (http://www.change-management.com/tutorial-adkar-overview.htm)
- Kotter International (http://www.kotterinternational.com/our-principles/changesteps/changesteps)
- Mind Tools (http://www.mindtools.com/pages/article/newPPM_87.htm)

Change Management Model
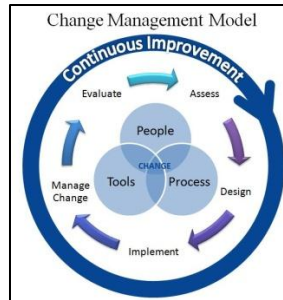
Cost-Effectiveness Analysis

What: Cost-Effectiveness Analysis (CEA) is a formal process for organizing information so that the cost of alternatives and their relative effectiveness in meeting a given objective can be compared systematically.

How: CEA involves three processes:

1. An analysis of the cost of each alternative;
2. An analysis of the effectiveness of each alternative; and
3. An analysis of the relationship between the cost and effectiveness of each of alternative, usually expressed as a ratio.

Operating Units should use cost-effectiveness as a criterion in comparing alternatives and decision-making. A strategic option is cost-effective when it achieves the objective with the minimum expenditure of resources.

When to Use: Similar to a trade-off analysis, CEA should be used when there are multiple options up for consideration with multiple decision makers, stakeholders, and other interested parties making inputs to the decision making process. However, the only two decision criteria used are cost and effectiveness.

Additional Information:
- World Health Organization (http://www.who.int/choice/publications/p_2003_generalised_cea.pdf)
- Department of Veteran Affairs (http://www.herc.research.va.gov/methods/cea.asp)
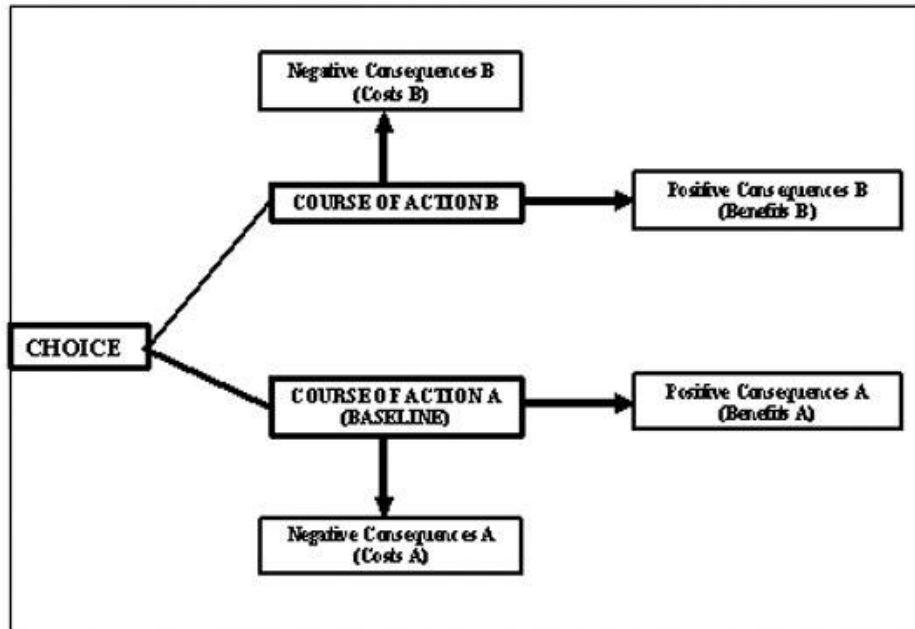
Desk Review

What: Desk reviews, or secondary research, involve the summary, collation, and/or synthesis of existing research and documentation. In contrast, primary research involves data collection from, for example, research subjects or experiments. Secondary sources could include agency policy, previous research reports, documented business processes, databases, and government and nongovernmental organization statistics.

How: Steps for a desk review include:

1. Develop a list of sources, a list of good starting points promises more than just looking at one particular source;
2. Document, organize, and file key information gleaned from research; and
3. Document the full citation of original sources, usually in the form of a complete listing or annotated listing.

When to Use: Desk reviews should be completed at the beginning of a business analysis to determine what is already known, what new data are required, and to inform research design.

Fishbone Analysis

What: Fishbone analysis is a graphic tool to explore effects and the causes that create or contribute to those effects. These causes can then be targeted for improvement.
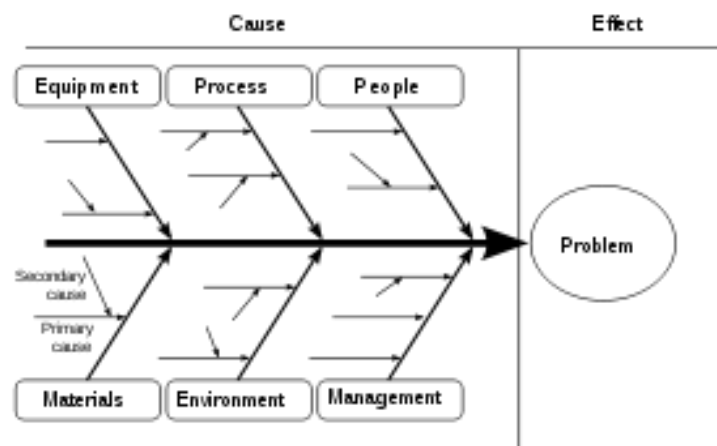
How: Steps for creating a fishbone analysis include:

1. Develop a problem statement: Place the problem statement at the head of the "fish." This is the end effect from which causes will be mapped. Draw a line toward the head of the fish. This is the fish's "backbone."
2. Begin to categorize: Start listing major steps in the business or service process, and connect them to the backbone in "ribs." There is no specific number of steps or categories needed to describe the problem.
3. List contributing factors: Brainstorm possible problem causes, and attach each to the appropriate rib. When brainstorming, it might be helpful to place ideas on category ribs as they are generated, or to brainstorm an entire list of ideas and then place them on ribs all at once.
4. Ask why for each factor: Repeatedly ask why that factor is present.
5. Look for deeper causes: There could be multiple branches off of each successively smaller rib. A team might lack expertise, for example, because of a lack of training, but also because the right people weren't hired for the job. Treat each contributing factor as its own "mini-rib," and keep asking why each factor is occurring.
6. Test for root causes: Test for root causes by looking for causes that appear repeatedly within categories or across major categories.

When to Use: Like problem tree analysis, fishbone analysis should be used when trying to determine the root cause(s) of a problem or when there are several problems identified which are competing for attention from management.

Additional Information:
- University of Notre Dame (http://www.notredameonline.com/what-is-fishbone-diagram/)
- State of Minnesota Department of Health (http://www.health.state.mn.us/divs/cfh/ophp/consultation/qi/resources/toolbox/fishbone.html)

Open Space Technology

What: Open Space Technology (OST) is an unstructured approach for meetings, retreats, workshops, and strategic planning sessions. OST focuses on a specific purpose or theme, but begins without a formal or prepared agenda. Instead, meeting participants develop the agenda when they meet. Once participants form the agenda, they discuss topics in working groups.

How: There are many variations of how to use OST. Below is a brief "user's guide" to be modified depending on the organization, facilitator and issues at hand.

- **Invitations:** Keep invitations short and non-prescriptive. Include important details, such as the time and place of the meeting, and clearly explain the theme of the event. Attendance should not be mandatory. You only want participants who are passionate and interested in the theme. However, you should explain the meeting theme and the implications of not attending (For example, if you attend, you will be able to influence the future strategy of USAID, while not attending will signal a lack of interest in doing so). The invitation should also explain that the meeting will be unstructured until participants arrive. Let participants know that they are the ones driving the conversation.

  Most importantly, keep the invite intriguing and exciting—OST relies on positive "safe space" for dynamic discussions and participation.

- **Facilitator:** OST uses only one facilitator. It is important that that person does not instruct or control the day—rather he or she should help the group manage their own space and time. The facilitator should encourage, engage and empower participants and should not have "all the answers".

- **Logistics:**

  - **Materials:** A matrix with sticky notes (to display times for two-hour breakout sessions), markers, flip charts, tape, and paper.
  - **Room:** The main room should big enough to allow all attendees to sit in a circle. There should be one unobstructed wall to tape the group schedule and key concepts. There should be additional rooms for the workgroups. Around five breakout rooms should be available for a group of 100 people.
  - **Time:** Events should usually last at least a day. If you want a higher level of reporting out, they should last two days. Make sure people are clear that they need to participate fully and not drop in and out of the meeting. Lunch should be eaten when the participants want to and people should be allowed to take self-selected breaks. Working groups may begin later or finish earlier than the allotted time. Once the Facilitator develops the approximate times for break out groups, time should flow organically without constraints from the Facilitator or other members.

- **Introduction:** Everyone should sit in a circle. The Facilitator should explain the theme of the day, expectations of what people and the group will produce, and the "rules" of OST. The theme

should be explained in an evocative, not descriptive or prescriptive, manner. Within the first hour, the group should know what they are doing, have created agendas (task groups, discussion groups etc.) and be ready to work. Introductions must be energetic and short.

As introductions are made, the wall behind the facilitator should have an "important concepts" poster (described below) and space for a bulletin board where people can post ideas.

- **Bulletin Board:** After explaining the theme, the facilitator should introduce the concept of the bulletin board. The bulletin board should be a space where people can put their topics for working group discussions with an associated breakout room and time.

  Invite people to the middle of the circle, to state their name and present their idea for discussion. Participants should write both on a piece of paper and post it on the wall. Once they have placed it on the wall they will need to take a sticky from the room schedule matrix (which has room availabilities with a time on each sticky) and put the sticky on their idea. Each session should be around two hours. Once people are done posting their ideas and corresponding times for their breakout groups the facilitator should help organize each group by putting morning session on the far left, noon sessions in the middle, and afternoon session's on the far right.

- **Market Space:** The facilitator should then "open the market space," where participants sign up for the groups they are interested in. If someone wants to combine groups, the author of the group can decide whether or not to.

- **Important Concepts:** Once everyone has signed up for their groups, the facilitator needs to explain important concepts for the day (these should be already hanging on the wall).

  - **The Four Principles**

    1. **Whoever comes are the right people**. If no one comes to a working group, that issue may not be relevant or important to the overall group.
    2. **Whatever happens is the only thing that could have.**
    3. **Whenever it starts is the right time.** If a discussion takes a while to be productive that it is okay.
    4. **When it is over it's over.** If an issue is solved in 20 minutes, and it is a 2 hour block participants can move to another group.

  - **The Law of Two Feet**
    If anyone finds themselves in a place where they are not learning or contributing they can use their feet to go to another group. This can apply to participants who want to drift from meeting to meeting

- **"Afternoon News"** After discussions in each group the group should be called back into the main room. People should once again sit in a circle. The group should have an open mike so

members can voluntarily share any positive or interesting stories that have emerged from the group.

- **Reporting out** If possible, throughout the day people should record important points within the ongoing discussion. An easy way to organize reporting is to have one Google doc where people can insert their notes and thoughts into throughout the day.

- **Closing** The day should end naturally. It is up to the facilitator to "feel" the group's energy and the best way to close the day. One suggestion is to use the Native American tradition of a talking stick. Have each member pass around a stick. Once in his or her possession the participant should be able to speak freely about events or issues from throughout the day.

- **Follow up** is important to use the energy and progress made from the retreat and parlay it into after action working groups. Allow a space in the office for people to post their ideas and sign up for after action groups once the retreat is over. The role of leadership should be to send a message of encouragement to post ideas and join working groups, while not being prescriptive. Leadership should listen to results and recommendations from these groups and act on them as appropriate.

When to Use: OST works best when there is a complex issue that leadership does not have an answer to. OST can be used in groups with 5 to 500 participants and should take place over a one to three day period.

OST relies on people's interest in the theme of the workshop or meeting to produce effective, frank, and useful discussion and action items. It is most effective when leadership takes a back seat, and there is a non-hierarchical approach and discussion of issues and interests. This allows people to raise relevant issues that are important to the group and important to them. Focusing on issues that people are invested in encourages energetic discussion and problem solving. This process empowers people to take initiative, responsibility, and follow up actions for their own ideas. It also highlights issues that would not be raised in a more formal setting.

Due to its structure as an open forum event, it will not be effective when there are issues with team dynamics, or tension with leadership.

Additional Information:

- Open Space World (http://www.openspaceworld.org/cgi/wiki.cgi?WorkingInOpenSpace)
- Elemental Education (http://elementaleducation.com/wp-content/uploads/temp/OpenSpaceTechnology--UsersGuide.pdf)
- Sharing Knowledge (http://www.kstoolkit.org/Open+Space)

Problem Tree Analysis

What: Problem tree analysis helps to find solutions by mapping out the anatomy of cause and effect around an issue. With this method, the problem can be broken down into manageable and definable chunks. It can provide better understanding of the problem and its often interconnected and even contradictory causes. This is often the first step in finding win-win solutions.
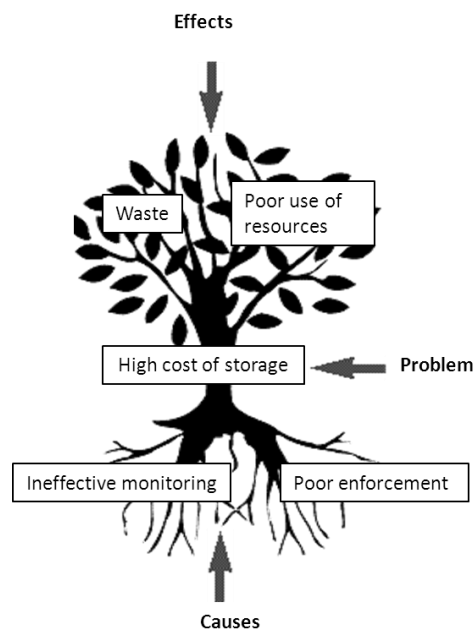
How: When building a problem tree:

1. Identify the major problem, state it as a negative condition, and place it in the diagram as the trunk of the problem tree;
2. Brainstorm all the specific causes that contribute—directly or indirectly—to the major problem.
3. Organize all the specific causes into direct cause-effect relationships and put them in the problem tree diagram;
4. Take each causal chain of problems through to as many levels as needed to complete the analysis; and
5. Identify the effects and consequences of the problem and organize them into direct cause-effect relationships as the branches of the tree.

When to Use: Like fishbone analysis, problem tree analysis should be used when trying to determine the root cause(s) of a problem or when there are several problems identified which are competing for attention from management.

Additional Information:
- The Overseas Development Institute (http://www.odi.org.uk/publications/5258-problem-tree-analysis)
- Massachusetts Institute of Technology (http://web.mit.edu/urbanupgrading/upgrading/issues-tools/tools/problem-tree.html)

Effects

Waste

Poor use of resources

High cost of storage ◄— **Problem**

Ineffective monitoring   Poor enforcement

Causes

SWOT Analysis

What: A SWOT analysis is a business tool used to identify strategic issues within an organization by analyzing the **Strengths, Weaknesses, Opportunities,** and **Threats** of the organization. SWOT analysis can: 1) help a new group to focus on developing its mission and important strategies; 2) enable a group that has not been functioning as effectively as they could be to refocus their efforts and get on track; and 3) assist an organization to periodically renew its priorities in a systematic fashion.

How: The key steps in conducting a SWOT analysis include:

1. Brainstorming lists of strengths, weaknesses, opportunities and threats (remembering to keep the focus internal for strengths and weaknesses and external for opportunities and threats);
2. Taking the laundry-list of ideas within each category and reduce them to the top 5 to 10 ideas (per category);
3. Reviewing each category separately and discuss each of these ideas and the potential implications to the organization;
4. Remembering that the idea with SWOT analysis is to gain a better understanding of how the organization can relate to its external environment. As such, the next step is to look at the internal strengths and weaknesses of the organization and see how they relate to the opportunities and threats external to the organization; and
5. Looking at the following areas:
   a. Those factors that represent both strengths of the organization and opportunities in the external environment. These represent potential areas for growth.
   b. Those factors that represent weaknesses of the organization and threats in the external environment. These represent areas that need to be addressed.

When to Use: A SWOT analysis is a good tool for analyzing strategic opportunities and challenges with a group of people in a short time frame.

Additional Information:
California Polytechnic State University
(http://www.studentaffairs.calpoly.edu/sites/studentaffairs/files/docs/Prof_Dev/swot_analysis.pdf)
United Nation Development Program (http://europeandcis.undp.org/ourwork/cd/show/802FBB5F-F203-1EE9-B5DD65625C9269A9)
Harvard Business School (http://orion2020.org/archivo/planeacion/04_swot1.pdf)

Trade-Off Analysis

What: Trade-off analysis is a decision making tool used after a team has identified a range of options for addressing operations issues. Trade-off analysis helps the organization select the best option(s) with the highest impact potential. Trade-off analysis usually includes developing a decision matrix which displays the various options with their respective scores against established decision criteria.

Example

OPTIONS	Criterion A: Lowers costs	Criterion B: Streamlines	Criterion C: Maximizes Performance	Criterion D: Stakeholder/Customer Acceptability	TOTALS
Criterion Weight	Max. 20 pt.	Max. 20 pt.	Max. 20 pt.	Max. 40 pt.	100
Option 1: Train existing staff	10	10	15	20	55
Option 2: Realign Staff	15	20	20	30	85
Option 3: Reduce current staff and hire new expertise	10	15	20	10	60

How: A decision matrix allows decision makers to structure and then solve their problem by:

1. Define the ideal solution. Spend a few minutes thinking about the ideal solution. How does it look and feel? Try it on for size. Make a list of the key characteristics for the ideal solution.
2. Set Priorities. Which of these characteristics of the ideal solution are the most important? Assign a weight (percent) to each key characteristic. The weight establishes the priorities.
3. Assign the Points. Evaluate each option and give it a raw score for each key characteristic. Look at each option by itself and rate it according to how it meets the key characteristics.
4. Calculate the weighted scores. Use the raw score and the key characteristic weight (percent) to calculate a weighted score.
5. Add up the total scores. Add up the weighted scores to get the total score for each option. The option with the highest score is closest to the ideal solution.

When to Use: Trade-off analysis should be used when there are multiple options to consider with multiple decision makers, stakeholders, and other interested parties having inputs in the decision making process.

Additional Information:
U.S. Army Corps of Engineers (http://www.iwr.usace.army.mil/Portals/70/docs/iwrreports/02-R-2.pdf)

Annex C—Sample Scope of Work (SOW)

[Mission Name]
[Date]

1. **Background:** Briefly synopsize the Mission's current profile and situation. For example, budget and staff size, past and future trend information, major programs and new initiatives, status of Country Development Cooperation Strategy and Integrated Country Strategies, major management challenges related to program and operations support, and perceived opportunities.

2. **Mission Management Assessment (MMA) Purpose and Audience:** Briefly state the purpose of the MMA, highlighting any special considerations that drove the decision to perform it. Clearly indicate who the primary audience is for the assessment. See Annex A for examples of some influencing factors.

3. **Key Questions by Issue or Function:** List and categorize three to four key questions to be answered by function or issue (for example, information technology, financial management, facilities and space, and staffing). See Annex D for a template.

4. **Assessment Methods:** Describe the types of business analysis the MMA team will use for collecting, analyzing, and synthesizing data to ensure an empirical basis for their findings and recommendations. See Annex B for descriptions of business analysis tools and Annex G for tips on interview methods. The SOW should also take into account the current operations of the Mission in order to choose the most appropriate assessment method and the amount of time and effort that staff will have to expend in order to provide the information to the MMA team and to implement the recommendations and actions.

5. **Team Participation and Roles:** List the proposed team members by name and subject matter expertise. Specify the team leader's role, authorities, and functions. Indicate whether there is a need for external expertise to fulfill the needs of the MMA (for example, facilitator or report preparation), and if so, specify the type, source, and funding methods.

6. **Schedule and Responsibilities:**

   a. Outline the schedule and timing for the MMA by pre-departure preparation, in-country activities, and review and approval of deliverables.

      - **Pre-departure Preparations (two to four weeks):** Review the SOW; define key questions and preliminarily agree on business analysis methods; review, analyze, and synthesize data from reference materials; create a report outline; conduct and document interviews with key Washington stakeholders; prepare in-country schedules; and develop checklists, survey instruments, and functional area questionnaires.

- **In-country Activities (7 to 10 days):** Organize and hold team entrance meetings, perform and document interviews and consultations, conduct data analysis, perform daily debriefs, organize and hold in-country wrap-up sessions, draft report sections, and conduct exit briefings.

- **Review and Approve Deliverables (no more than four weeks):** Draft team deliverables, draft report, prepare final report, and organize formal Agency briefing.

    b. Describe the administrative and logistical responsibilities for team support (for example, collecting and providing background documents, scheduling interviews and consultations in Washington and in country, and administrative and logistical support).

    c. Describe any special considerations, limitations, or instructions regarding how the team will communicate findings and any elements of the assessment that require special handling (for example, personnel-sensitive issues, U.S. Embassy special interests, or cultural and political limitations).

7. **Deliverables:** Specify the requirements for the MMA report. The report should clearly state major findings, related conclusions, and recommendations taking into account the effort that will be required to implement them by the staff at the Mission; describe the methods used to review, analyze, and synthesize data; and list data sources.

8. **Attachments or Special Links:** Include all relevant material and annexes (for example, reference lists, functional area checklists, and interview lists).

9. **References to ADS as applicable**: For example, [ADS 596 Management's Responsibility for Internal Control](#).

Annex D—Illustrative Mission Management Assessment Data Analysis Plan

Assessment Questions	Assessment Sub-questions	Information Required	Sources	Data Analysis and Method	Team Lead
Focus Area 1: Alignment Between Program Scope and Staff Resources					
Is staffing adequate in terms of numbers, distribution across offices, and mix of skills and experience to effectively achieve goals and new initiative aims?	What is the current state of local human resource capacity?	Project appraisal documents and concept papers, Country Development Cooperation Strategy, staffing patterns	National Security Decision Directive 38, Bureau workforce analysis, operating expense requests, Country Development Cooperation Strategies	Desk review, spreadsheet analysis, structured interviews	Administrative Management Staff Officer/Executive Officer
	Is USAID/W staff with the support they need to perform well?				
	Are program functions adequately provided?				
Focus Area 2:					
Focus Area 3:					

Annex E—Illustrative Reference Materials/Desk Review

Document	Source/Notes
Scopes of Work	
Mission Management Assessment	Mission
Operations	
Organizational Chart	Mission
Foreign Service National (FSN) Morale Survey	Mission
Foreign Service National (FSN) Workforce Planning information (ICASS)	Mission
FSN Local Compensation Plan (LCP)	Mission
U.S. Post Morale Survey	Mission/ Embassy
Additional Surveys (for example Federal Employee Viewpoint Survey, Employee Viewpoint Survey, American Foreign Service Association)	Mission
Listing of Key Interagency Working Groups and Members (for example, ICASS Council, Country Team, training committee, Awards Committee)	Mission
Federal Managers Financial Integrity Act (FMFIA) Annual Certifications and supporting documentation	M/CFO
Workforce Analysis (Bureau)	Regional Bureau
Staffing Pattern (Mission)	Mission
Footprint Analysis	AA/M
Operating Expense Request Analysis	M/MPBP
Mission Training Plan	Mission
Communications/Development Outreach Coordinator Strategy	Mission
Staff Retreat Reports (for example, agendas, tools, recommendations)	Mission
ICASS Survey Results for Mission	Mission
Country-specific ICASS interagency agreements (if applicable)	Mission
Program Documents	
Overall Bilateral Agreement with Host Government	Mission
Country Checklist	GC
Country Strategy Statement	Programnet
Development Objective Assistance Agreements	Mission
Performance Plan and Report	State/F Web site
USDA PL 480 Title II (Food Aid) Key Documents	Mission
PEPFAR Partnership Framework	PEPFAR Web site
Joint Regional Strategy for Bureau	Regional Bureau or State/F
Congressional Budget Justification (CBJ)	Usaid.gov
Mission Resource Request	State/BP
Operational Plan (OP, COP, etc.)	State/F Web site
MCC compact or threshold program agreements	Mission/MCC Web site
List of other U.S. Government Activities which relate to USAID's portfolio (for example, Peace Corps)	Mission
List of USAID Contractors and Grantees	Mission

Document	Source/Notes
List of Donors in Country	Mission
Draft Country Development Cooperation Strategy (CDCS) (if applicable)	Mission
Sector Assessments	Mission
Concept Papers/Project Approval Documents	Mission
Project Design Planning Matrix	Mission/Regional Bureau
Planned Analytical Works and Evaluations	Mission
Recent Project Evaluations	DEC
Semi-Annual Portfolio Review Minutes	Mission
USAID Annual Letter (if applicable)	AID/A
Pipeline Analysis (disaggregated by funding account, sector and instrument)	Mission
Major Audits, Reviews, Assessments, etc.	GAO, IG
Foreign Assistance Dashboard Analysis of Country, if applicable	M/MPBP
U.S. Department of State Country-specific Background Note	State Web site
Acquisition and Assistance Plan (A&A)	M/MPBP
Mission Orders (MOs)	Mission
Relevant Mission Notices	Mission
Development Objective Team and Working Group Listings	Mission
Initiatives	
Feed the Future (FTF) Multiyear Strategy (if applicable)	FTF Web site
Global Climate Change Strategy (if applicable)	Mission
Africa Energy Initiative (if applicable)	Mission
Partnership for Growth (if applicable)	Mission
Power Africa/Trade Africa	ARR/Mission
Global Health Initiative (GHI) Country Strategy (if applicable)	GHI Web site
Gender-Based Violence (if applicable)	Mission
Africa Growth and Opportunity Act (if applicable)	Mission
New Alliance for Food Security Initiative (if applicable)	Mission
Other initiatives as applicable	Mission
USAID Forward	
Local Solutions: Government-to-Government (G2G)	Mission
Local Solutions: Local Capacity Building	Mission
USAID Forward Report	USAID Forward Web site
Public Financial Management Risk Assessment Framework (PFMRAF) Report Stage 1	USAID Forward Web site
Public Financial Management Risk Assessment Framework (PFMRAF) Report Stage 2	M/CFO
Checklists	
Controller Assessment Checklists	M/CFO
EXO Assessment Review Checklist	M/MS
CIO Assessment Review Checklist	M/CIO
Procurement System Assessment Review Checklist	M/OAA
Automated Directives System	
ADS 596 Management's Responsibility for Internal Control	M/CFO

Annex F—Outline for Mission Management Assessment Report

1. **Acknowledgements**

2. **Executive Summary**

   a. **Introduction:** Briefly describe the key factors and conditions that precipitated the decision to perform the Mission Management Assessment (MMA).

   b. **Purpose of the MMA:** Briefly state the MMA's purpose, as defined in the Scope of Work (SOW), and the audience for the assessment report.

   c. **MMA Methodology**: Describe the methodology used. See Annex B for examples of methodologies. For example:

      The MMA for [name of Mission] was comprised of [list participants and function or skill]. The team executed the MAA from [dates]. The team performed their diagnosis and analysis using the following methodologies and steps to ensure consistent and objective data collection and review in order to substantiate findings and recommendations. List and elaborate briefly on each method. For example:

      - Interviews and consultations with stakeholders
      - Desk review
      - Trade-off analysis
      - Benchmarking
      - Cost-effectiveness analysis

      The team analyzed and synthesized findings from the analyses, performed daily team debriefs, and obtained regular feedback from the Mission to inform this MMA report.

   d. **Key Findings and Recommendations:** Briefly list the top two to three major findings by focus areas addressed in the MMA's SOW (for example, organization and staffing or administrative support). Describe each in a maximum of two to three sentences followed by recommendations.

3. **Mission Profile**: Describe the current context for the Mission country program (for example, current breadth and scope of program and its operations, levels of funding and staffing, current and new management requirements in relation to number and type of programs, new Mission management challenges, where a Mission is in the CDCS process, and new constraints). Ensure that this section provides an adequate overview on the key focus area of inquiry related to the SOW. See Annex A for examples of MMA triggers.

4. **Emerging Issues:** Briefly describe any significant concerns that arose while the team conducted the MMA.

5. **Major Findings, Conclusions, and Recommendations:** List major findings based on the SOW by focus area and question, describe management issues that seriously affect the Mission's effectiveness, and prioritize recommendations.

6. **Implementation Plan:** Organize the priority follow-up actions into identifiable steps, responsible parties and suggested completion dates. Should take into account the time and resources available to Mission staff (including FSNs) who will implement recommendations.

7. **Annexes:** Include materials that are important to the MMA, such as:

- SOW
- Acronym listing
- Bibliography
- List of interviewees
- Assessment questions and methods matrix
- Synthesis of key interviews and stakeholder consultations
- Details of business analyses (for example, process maps)
- Other relevant documents
- ADS, as applicable

Annex G—Structured Interview Methods and Tips

<u>**General Information**</u>

USAID uses three interview methods for Mission Management Assessments (MMAs): 1) key informant, 2) focus group, and 3) stakeholder consultation meetings.

If an MMA team plans to use interviews as its primary means of collecting data, the team must extract and document reliable information from them. Interviews can provide:

- Descriptive information;
- Anecdotal information;
- Information to supplement secondary source data and quantitative data; and
- Perspectives, opinions, suggestions, and recommendations on specific issues or new initiatives.

However, it is important to note that:

- Interviews are not substitutes for evidence-based review, analysis, and synthesis of data contained in the Mission or Washington's documents (for example, policies, Mission orders, performance reports, transaction files, and audits).
- Interviews have limitations. These can include an inability to generate precise quantitative data and a susceptibility to bias.
- While useful, conversations and informal meetings are not interviews. Findings and recommendations gleaned from these have low credibility.

<u>**Tips on Selecting and Planning the Interview Process**</u>

1.   Key Interviews

Key interviews are one-on-one (or two-on-one to allow for a note taker) qualitative, in-depth interviews with individuals selected for their first-hand knowledge about the topic of interest. They should include staff from multiple levels and should include FSN staff with knowledge of the issues. While interviews are loosely structured, the interviewer should rely on a guide with key discussion questions. Interviewers should frame questions spontaneously, probe for information, and take notes. These sessions usually last about one hour.

Strengths:
- Provide insights on motivations and attitudes that direct people's behavior;
- Elicit suggestions and ideas;
- Collect descriptive information;
- Build consensus on challenges, opportunities, and proposed actions or solutions; and
- Help interpret quantitative data.

Weaknesses:
- When poorly organized, key interviews take large amounts of time out of an already compressed MMA schedule;
- Key informant interviews generally do not provide quantifiable information; and
- Interviews may be susceptible to interviewee or interviewer bias.

2.   Focus Group Interviews

These interviews are best for getting a small group of participants internal to USAID (usually 7 to 12) to discuss their experiences, perspectives, and preferences about topics with the guided support of a facilitator. The facilitator raises issues identified in a discussion guide and uses probing techniques to solicit views, ideas, and other information. The facilitator should be aware of and sensitive to cultural norms, differences, and sensitivities that may affect the participation within the focus group. Groups should typically not include supervisors and their employees as participants in the same focus group. In certain cultures, men and women may participate more if the groups are separated by gender. Typically, these sessions will last one to two hours.

Strengths:
- Provide qualitative information on issues of program, management, services, operations, and other topics and problems;
- Identify attitudes, preferences, or needs related to new situations, policies, and initiatives; and
- Gather information rapidly from a larger target group.

Weaknesses:
- A few participants can dominate or sidetrack the discussion; and
- Managing the discussion and recording salient points requires more than one interviewer.

> - Be clear with participants about how comments will be attributed and respect any request for nonattribution; and
> - Document the salient discussion points.

3.   Stakeholder Consultative Sessions

In these sessions, the MMA interviewer asks questions, raises issues, and seeks responses from participants (usually more than 15 persons). These types of sessions can be an opportunity for USAID to share information with internal and external stakeholders, as well as solicit their feedback. These consultative sessions typically last between two to three hours.

Strengths:
- Engage and encourage participation of internal and external stakeholders and customers;
- Reach groups of individuals that might otherwise be excluded or underrepresented in other MMA diagnostic processes;
- Identify stakeholder expectations;
- Identify stakeholder perceptions and attitudes;
- Obtain feedback on specific issues;
- Define areas of consensus on challenges or opportunities;
- Help to identify and control internal and external risks;
- Reduce individual inhibitions to providing feedback;
- Help to establish the branding values and positioning of an Operating Unit; and
- Gather information rapidly from a large target group.

Weaknesses:
- A few participants can dominate or manipulate the discussion's direction and message;
- Participants may not be frank in a public forum;
- Managing the discussion and recording salient points requires more than one interviewer; and
- If stakeholder feedback does not result in new actions by USAID, it could damage relationships.

Tips for a Good Stakeholder Consultative Interview Process:

- Make sure the MMA team member is a good group facilitator;
- Have another member of the MMA team serve as a reporter to record salient points and enable the facilitator to remain observant and engaged;
- Think carefully about how to ensure inclusion (for example, venue for session, date, and time of day);
- Consider how to ensure that the group's dynamics will lend itself to active and free expression and participation (for example, should there be individual sessions for women or for contractors separate from grantees);
- Define the selection criteria for 15 or more participant stakeholders or customers;
- Ensure a representative cross-section of individuals;
- Be sensitive to cultural norms regarding participation in groups;
- Determine in advance whether there are any cultural constraints that could affect involvement and participation of stakeholders;
- Consider providing participants some background on the aims of the consultation in advance;
- Develop the discussion guides that set out the core questions related to Scope of Work;
- Be clear about how comments will be attributed and respect any request for non attribution;
- Consider whether participants will expect some clear information on if new action will be taken based on their input; and
- Document the salient discussion points.

Annex H—Functional Checklists

Please use Google Chrome to access these documents.

Checklists and scorecards are living documents and subject to change. Prior to use during an MMA, please contact the following who can provide the most recent version.

- Deputy Chief Financial Officer for Overseas (DCFO/O) Operations, Bureau for Management
- Overseas Management Division (OMD) Chief, Bureau for Management, Office of Management Services
- Deputy Director of Operations, Bureau for Management, Office of Acquisition & Assistance
- Deputy, Chief Information Officer, Bureau for Management

Recent versions can be accessed by visiting:
https://drive.google.com/a/usaid.gov/?tab=mo#folders/0B4_24zQMoV11WmhINEdNNGlWbFE.

1. Controller Assessment Guidance

2. Management Services Review Guidelines

3. Overseas Acquisition and Assistance Scorecard

4. Overseas Acquisition and Assistance RCO Interview Questions

Annex I— Leadership Effectiveness Index (LEI

Overview:

The LEI refers to inclusive leadership and consists of 20 questions identified through a rigorous factor analysis trial of OPM's Federal Employee Viewpoint Survey (FEVS) questions. Note that the LEI also applies to the USAID Employee Viewpoint Survey administered to all non-direct hires. These 20 FEVS questions had the highest correlation to inclusive environments of the 87 questions tested. The 20 questions are grouped into 5 Habits of leadership: Fair, Open, Cooperative, Supportive, Empowered. Leadership effectiveness drives employee engagement and organizational performance. All USAID Operating Units are working on action plans that focus on improving one or more of these five areas. This is a corporate management metric being reviewed by the Administrator's Leadership Council (ALC) and is considered critical to management excellence. For more information on this metric, please contact FEVS@usaid.gov.

For more information visit: OPMs Center for Leadership Development.

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